

**INFORMATION DISCLOSURE CITATION
IN AN APPLICATION**
(Use several sheets if necessary)

PTO Form 1449

Atty Docket No. 115274-017	Application No. 09/548,235
Applicant Levergood et al.	
Filing Date April 12, 2000	Group 2155 2145

U.S. PATENT DOCUMENTS							
Examiner's Initials		Document Number	Publication Date	Inventor	Class	Subclass	Filing Date If Appropriate
plw		4,484,304	November 20, 1984	Anderson et al.			
		4,566,078	January 21, 1986	Crabtree			
		4,578,530	March 25, 1996	Zeidler			
		4,941,089	July 10, 1990	Fischer			
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plw		5,895,454	April 20, 1999	Harrington			
Examiner: <i>Patrice J. Winder</i>				Date Considered: 10-30-06			

*Examiner: Initial if citation considered, whether or not citation is in conformance with MPEP Section 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

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U.S. PATENT DOCUMENTS						
Examiner's Initials	Document Number	Publication Date	Inventor	Class	Subclass	Filing Date If Appropriate
plw	5,982,891	November 9, 1999	Ginter et al.			
plw	6,134,592	October 17, 2000	Montulli			

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Examiner's Initials	Document Number	Publication Date	Country	Class	Subclass	Translation	
						Yes	No
plw	EP 0456920	November 21, 1991	EPO				
	EP 0542298 B1	May 19, 1993	EPO				
	WO 94/03859	February 17, 1994	PCT				
plw	EP 0645688	March 29, 1995	EPO				

Examiner's Initials	OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)
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plw	Good, B., "Experience with Bank of America's Distributive Computing System," pp. 2-8, IEEE 1983.

Examiner: <u>Patricia L. Winder</u>	Date Considered: <u>10-30-06</u>
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Examiner's Initials	OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)
plw	Inselberg, A., "An Approach to Successful Online Transaction Processing Applications," AFIPS Conference Proceedings, 1985 National Computer Conference, pp. 419-427, Chicago, IL, July 15-18, 1985.
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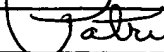
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Examiner's Initials	OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)
plw	Complaint for Patent Infringement filed January 12, 2004.
	Amazon.com's Answer, Affirmative Defenses, and Counterclaims to Sovereign Software's Complaint filed March 9, 2004.
	Amazon.com's Response to Plaintiffs First Set of Interrogatories filed June 11, 2004.
	Sovereign's Responses and Objections to Amazon.com's First Set of Interrogatories (Nos 1-14) filed June 11, 2004.
	Disclosure of Preliminary Invalidity Contentions by Defendants Amazon.com and the Gap (with Exhibit A) filed July 6, 2004.
	Amazon's Motion for Partial Summary Judgment of Non-Infringement (780 Patent), and Memorandum in Support Thereof filed July 15, 2005.
	Sovereign's Supplemental Responses to Amazon.com's First Set of Interrogatories (nos. 1-14) filed August 13, 2004.
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	Amazon.com's Reply in Support of its Motion for Partial Summary Judgment of Non-Infringement (780 Patent) filed August 19, 2004; Declaration of John Vandenberg.
	Sovereign's Surreply to Amazon.com's Motion for Partial Summary Judgment of Non-Infringement (780 Patent) filed August 23, 2004 and Supplemental Declaration of Jack D. Grimes Ph.D. filed August 23, 2004.
	Sovereign's Preliminary Claim Construction (Patent Local Rule 4-2) filed September 2, 2004.
	Joint Disclosure of Preliminary Claim Construction and Extrinsic Evidence by Defendants Amazon.com and the Gap (with Exhibits A-B) filed September 2, 2004.
	Joint Claim Construction and Prehearing Statement (Patent Local Rule 43) (with Exhibits A-D) filed October 4 2004.
	Amazon.com's First Amended Answer, Affirmative Defenses, and Counterclaims to Sovereign's Complaint filed October 6, 2004.
	Declaration of Jack D. Grimes Ph.D. dated November 15, 2004.
	Sovereign's Claim Construction Brief Pursuant to Patent Rule 4-5(a) dated November 16, 2004.
	Declaration of Dr. Richard N. Taylor in Support of Defendant's Markman Brief dated November 29, 2004.
	Joint Claim Construction Brief of Amazon.com and Gap dated November 30, 2004.
plw	Sovereign's Claim Construction Reply Brief Pursuant to Patent Rule 4-5(c) dated December 7, 2004.

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PTO/SB/08A (10-01)

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Substitute for form 1449A/PTO				Complete if Known	
INFORMATION DISCLOSURE STATEMENT BY APPLICANT (use as many sheets as necessary)				Application Number	09/548235
				Filing Date	4/12/2000
				First Named Inventor	Levergood et al.
				Art Unit	2145
				Examiner Name	Patrice L. Winder
Sheet	1	of	1	Attorney Docket Number	432383600011
U.S. PATENT DOCUMENTS					
Examiner Initials*	Cite No. ¹	Document Number Number - Kind Code ² (if known)	Publication Date/Date of Patent MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
plw		5347632	9/13/1994	Filepp et al.	
plw		5544322	8/6/1996	Cheng et al.	
plw		5560008	9/24/1996	Johnson et al.	
Examiner Initials*	Cite No. ¹	Foreign Patent Document Country Code ³ - Number ⁴ - Kind Code ⁵ (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS					
Examiner Initials*	Cite No.	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.			T ²
plw		"It will happen", article excerpt from infoHighway, vol. 2-1, January 1995.			
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		Pitkow, et al., Results from the First World Wide Web Use Survey, presented at the First International Conference on the World Wide Web, Geneva Switzerland, May 25-27, 1994, published at http://www24.web.cern.ch/WWW94/PreImProc.html on June 2, 1994, and reprinted in the Journal of Computer Networks and ISDN Systems, Vol. 27, no. 2, Nov. 1994, Elsevier Science B.V.			
		The NetMarket Company, NetMarket PGP Help file, from http://www.netmarket.com , dated December 10, 1994.			
plw		Trewitt, Glenn, Using Tcl to Process HTML Forms, Digital Equipment Corporation, Network Systems Laboratory TN-14, dated May 1994.			
Examiner Signature	Patrice L. Winder			Date Considered	10-30-06

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**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**
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Complete if Known

Application Number	09/548235
Filing Date	April 12, 2000
First Named Inventor	Levergood et al.
Art Unit	2145
Examiner Name	Patrice L. Winder
Attorney Docket Number	432383-600011

Sheet 1 of 1

U.S. PATENT DOCUMENTS

Examiner Initials*	Cite No. ¹	Document Number	Publication Date/Date of Patent MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
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		Country Code ³ - Number ⁴ - Kind Code ⁵ (if known)				
plw		JP 3278230	12/9/1991	Fuji Xerox Co. Ltd.		
plw		JP 5274275	10/22/1993			
plw		JP 6162059	6/10/1994	Shiter Banku N EE		
		JP 6291776	10/18/1994	Toyo Communication Equip.		

OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No.	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
plw		Ohmori et al., "An On-line Shopping System Protecting User's Privacy", Information Communication Laboratory of Matsushita Electric Industrial Co., Ltd., pages 25 - 32. Note: 12 Pages of Translation Attached.	

Examiner Signature: *Patrice L. Winder* Date Considered: *October 30, 2006*

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				First Named Inventor	Levergood et al.
				Art Unit	2145
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plw		4305059	12/18/1981	Benton	
plw		4528843	7/9/1985	Freeny, Jr.	
plw		4529870	7/16/1986	Chaum	
plw		4734858	3/28/1988	Schlaflly	
plw		4755940	7/5/1988	Bracht et al.	
plw		4759083	7/19/1988	Chaum	
plw		4759064	7/19/1988	Chaum	
plw		4775935	10/4/1988	Yourick	
plw		4795890	1/3/1989	Goldman	
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plw		4987593	1/22/1991	Chaum	
plw		4991210	2/5/1991	Chaum	
plw		4992940	2/12/1991	Dworkin	
plw		4998711	2/26/1991	Chaum	
plw		5025373	8/18/1991	Keyser Jr., et al.	
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plw		5311594	5/10/1994	Penzias	
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plw		5321751	6/14/1994	Ray et al.	
plw		5336870	8/9/1994	Hughes et al.	
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plw		5383113	1/17/1995	Kight et al.	
plw		5414833	5/9/1995	Hershey et al.	
plw		5475585	12/12/1995	Bush	
Examiner Signature	Patrice L. Winder			Date Considered	10-30-06

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Substitute for form 1449A/PTO

**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**
(use as many sheets as necessary)

Complete if Known

Application Number	09/548235
Filing Date	April 12, 2000
First Named Inventor	Levergood et al.
Art Unit	2145
Examiner Name	Patrice L. Winder
Attorney Docket Number	432383600011

Sheet	2	of	8
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U.S. PATENT DOCUMENTS

[illegible]

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Substitute for form 1449A/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT <i>(use as many sheets as necessary)</i>				Complete if Known		
Sheet		3	of	8	Application Number 09/548235 Filing Date April 12, 2000 First Named Inventor Levergood et al. Art Unit 2145 Examiner Name Patrice L. Winder Attorney Docket Number 432383600011	
FOREIGN DOCUMENTS						
Examiner Initials*	Cite No. ¹	Foreign Patent Document Country Code ² - Number ³ - Kind Code ⁴ (if known)	Publication Date -MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T ⁵
plw		0172670EP	2/26/1986	Technion Research & Development Foundation		
plw		GB 2102606	2/2/1983	National Research Development Corporation		
plw		JP 410181	1/1/1992			
plw		JP 05-158863	8/25/1993	Omron Corp.		
plw		WO 91/16891	10/31/1991	Jonhig Limited		
plw		WO 93/10503	5/27/1993	Citibank N.A.		
OTHER PRIOR ART -- NON PATENT LITERATURE DOCUMENTS						
Examiner Initials*	Cite No.	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.				T ²
plw		PLEADINGS:				
		Amazon.com's Reply in Support of Renewed Motion to Stay				
		Deposition of G. Winfield Treese, dated October 27, 2004.				
		Deposition of Glenn Arthur Hauman with Exhibits (October 28, 2004)				
		Joint Claim Construction Chart (Patent Local Rule 4-5D) filed December 27, 2004 with Appendix A.				
		Memorandum Opinion dated April 7, 2005				
		Motion to Stay (Renewed) by Amazon.com. (Attachments: # 1 Affidavit # 2 Text of Proposed Order)(Nelson, Justin) (Entered: 04/05/2005)				
		Notice by Amazon.com re Answer to Amended Complaint, Counterclaim Of Rejection Of Claims 1-45 Of U.S. Patent No. 5,708,780				
		Order Denying Amazon's Motion to Stay Proceedings Pending Completion of the Reexamination.				
		Soverain's Disclosure of Asserted Claims and Preliminary Infringement Contentions dated June 3, 2004.				
		Soverain's Opposition to Amazon's Renewed Motion to Stay				
		Soverain's Reply to Amazon.Com's Amended Counterclaims, dated January 14, 2005.				
		Soverain's Reply to Response to Motion re: Motion to Stay				
		Soverain's Answer to Counterclaim (Amazon's Third Amended Counterclaim) by Soverain Software LLC.(Seraphine, Jennifer) (Entered:03/17/2005)				
		Soverain's Fourth Supplemental Responses to Amazon's First Set of Interrogatories (Nos. 1-14) dated March 21, 2005				
		Soverain's Responses to Amazon's First Set of Requests for Admission to Plaintiff Soverain Software (Nos. 1-100) dated March 21, 2005				
		Soverain's Responses to Interrogatory Nos. 22, 23, 26 and 36 of Amazon's Third Set of Interrogatories (Nos. 17-38) dated March 21, 2005				
plw		Third Supplement to Defendant Amazon's Initial Disclosures, dated March 4, 2005.				
plw		Transcript of the Markman Hearing Before the Honorable Leonard David United States District Judge, January 6, 2005.				
		VideoTaped Deposition of Andrew Payne dated March 11, 2005.				
		VideoTaped Deposition of Glenn Crocker with Exhibits (March 19, 2005)				
		VideoTaped Deposition of Glenn Trewitt dated January 25, 2005 (2 parts).				
		VideoTaped Deposition of Mark Levergood dated March 8, 2005 (2 Parts).				
		VideoTaped Deposition of Stephen Morris dated March 9, 2005.				
Examiner Signature		Patrice L. Winder			Date Considered 10-30-06	

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			Filing Date	April 12, 2000	
			First Named Inventor	Levergood et al.	
			Art Unit	2145	
			Examiner Name	Patrice L. Winder	
Attorney Docket Number	43283600011				
Sheet	4	of	8		
plw				Amazon.com Inc.'s Unopposed Motion for Leave to Amend its Answer to Include Allegations Regarding Stuff.com Amazon.com's Motion for Partial Summary Judgment that claims are indefinite under 35 U.S.C. 112 Amazon.com's Motion for Partial Summary Judgment that '314 claims 34-39, '492 claims 17-18 and 35-36, and '780 claims 1, 4, and 22-24 are invalid under 35 U.S.C. 102 Declaration of James E. Geringer in Support of Amazon.com, Inc.'s Motion for Leave to Amend its Answer and Counterclaims to Add Stuff.com Deposition of Glenn M. Trewitt with Exhibits (January 25, 2005) Deposition of Joshua Smith with Exhibits (March 2, 2005) Deposition of Kevin Ming-Wai Kadala Hughes with Exhibits (March 21, 2005) Deposition of Michael Lazzaro with Exhibits (March 9, 2005) Deposition of Thomas Soulanille with Exhibits (March 14, 2005) Exhibit 1 of Geringer Declaration: Excerpts of Deposition of Michael Kuniavsky Exhibit 2 of Geringer Declaration: E-mail from Brooks Cutter to Mike Kuniavsky (June 14, 1994) Exhibit 3 of Geringer Declaration: Excerpts of Deposition of Richard Boake Exhibit 5 of Geringer Declaration: Excerpts of Deposition of Andrew Payne Exhibit 6 of Geringer Declaration: E-mail from Andrew Payne to Winfield Treese, et al. (June 15, 1994) Exhibit 7 of Geringer Declaration: Excerpts of Deposition of Winfield Treese Exhibit 8 of Geringer Declaration: Amazon.com, Inc.'s [Proposed] fourth Amended Answer, Affirmative Defenses and Counterclaims to Sovereign Software LLC's Complaint (Redlined Version) Supplemental Disclosure of Preliminary Invalidity Contentions by Amazon and Gap dated July 26, 2004. Videotaped Deposition of Guy Henry Timothy Haskin with Exhibits (March 16, 2005) Videotaped Deposition of Michael Kuniavsky with Exhibits (February 22, 2005) Videotaped Deposition of Phillip Hallam Baker with Exhibits (March 11, 2005) Videotaped Deposition of Robert Allen Olson with Exhibits (March 3, 2005) PUBLICATIONS: "Advanced Electronic Credit Authorization Through the Amherst Group SNET", News Release, pp. 1-2. "CompuServe Videotex Network Offers Marketing Research Service. Ad Test," Marketing News, Nov. 25, 1983 p. 21. "Electronic In-Home Shopping: "Our Stores are Always Open", " Chain Store Age Executive, Mar. 1985, pp. 111,116. "Mail Offers Holiday Treat for Hackers," Advertising Age, Nov. 13, 1985, p. 76. "Redcoats Join Communications Fight," Industry Week, Feb. 22, 1982, pp. 108-109. "Suddeniv. Videotex Is Finding an Audience," Business Week, Oct. 19, 1987, pp. 92-94. "Taking Advantage of the Past," Advertising Age, Apr. 11, 1983, pp. M36-37. Allen & Hamilton, How to Buy information with a First Virtual Account, Apr. 11, 1984, pp. 3-71. American National Standard: "Financial Institution Retail Message Authentication": ANSI X9.19: 1986. American National Standard: "Interchange Message Specification for Debit and Credit Card Message Exchange Among Financial Institutions": ANSI X9.2: 1988. Anderson, Ross J.; "UEPS—A Second Generation Electronic Wallet"; Proc. of the Second European Symposium on Research in Computer Security (ESORICS); Toulouse, France; pp. 411-418, no date. Bender, M.; "EFTS: Electronic Funds Transfer Systems"; Kennikat Press: Port Washington, New York; pp. 43-48: 1975. Beutelspacher, et al, "Payment Applications with Multifunctional Smart Cards," Smart Card 2000: The Future of IC Cards, Oct. 1987, pp. 95-101. Bos et al.; "SmartCash: A Practical Electronic Payment System"; pp. 1-8; Aug. 1990. Burk et al.; "Value Exchange Systems Enabling Security and Unobservability"; Computers & Security, 9; pp. 715-721; 1990. Burk, et al, "Digital Payment Systems Enabling Security and Observability," Computers & Security, 1989, pp. 389-415.	
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Examiner Signature	Patrice L. Winder			Date Considered	10-30-06

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Substitute for form 1449A/PTO			Complete if Known		
INFORMATION DISCLOSURE STATEMENT BY APPLICANT <i>(use as many sheets as necessary)</i>			Application Number	09/548235	
			Filing Date	April 12, 2000	
			First Named Inventor	Levergood et al.	
			Art Unit	2145	
			Examiner Name	Patrice L. Winder	
Sheet	5	of	8	Attorney Docket Number	432383600011
<i>plus</i>				Case Study: The CIRRUS Banking Network; Comm. ACM 8, 28' pp. 797-8078; Aug., 1985.	
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<i>plus</i>				National Westminster Bank Group; "Clearing House Automated Payments System"; pp. 1-28, no date.	
Examiner Signature	<i>Patrice L. Winder</i>			Date	10-30-06

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INFORMATION DISCLOSURE STATEMENT BY APPLICANT (use as many sheets as necessary)				Application Number	09/548235
				Filing Date	April 12, 2000
				First Named Inventor	Levergood et al.
				Art Unit	2145
				Examiner Name	Patrice L. Winder
Sheet	6	of	8	Attorney Docket Number	432383600011
plus				Hirschfeld, Rafael "Making Electronic Refunds Safer"; Sections 1, 2, 4 and 6, 1992	
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				Archive of WWWorder mailing list (8/18/1994 - 6/13/1994)	
Examiner Signature	Patrice L. Winder			Date Considered	10-30-06

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				Examiner Name	Patrice L. Winder
Sheet	7	of	8	Attorney Docket Number	432383600011
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plw				Examiner Signature	Patrice L. Winder Date Considered 10-30-06

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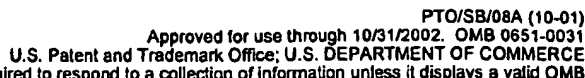
Application Number	09/548235
Filing Date	April 12, 2000
First Named Inventor	Levergood, et al.
Art Unit	2145
Examiner Name	Patrice L. Winder
Attorney Docket Number	432383600011

Sheet	8	of	8
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Examiner Signature Datrice L. Winder

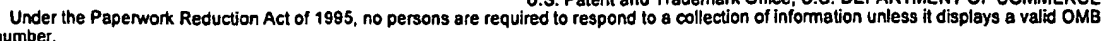
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INFORMATION DISCLOSURE STATEMENT BY APPLICANT (use as many sheets as necessary)						Application Number	09/548235
						Filing Date	April 12, 2000
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Sheet	1	of	1			Attorney Docket Number	432383600011
U.S. PATENT DOCUMENTS							
Examiner Initials*	Cite No. ¹	Document Number Number - Kind Code ² (if known)	Publication Date/Date of Patent MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear		
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plw		Soverain Software LLC v. Amazon.Com, Inc. and The Gap, Inc., Form of Stipulated Request for Final Dismissals of the Actions, filed August 30, 2005					
plw		Soverain Software LLC v. Amazon.Com, Inc. and The Gap, Inc., Order of Dismissal with Prejudice filed August 31, 2005					
plw		Bina et al., "Secure Access to Data Over the Internet", Natl. Center for Supercomputing Appls., Univ. Of Illinois, Champaign, Illinois, pages 99-102.					
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plw		Kent, Stephen T., "Internet Privacy Enhanced Mail", 8070 Communications of the ACM 36, New York, August 1993, pages 48-60.					
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plw		Schaefer et al., "Networked Information Discovery and Retrieval Tools: Security Capabilities and Needs", The MITRE Corporation, 1994, pages 145-153.					
plw		European Search Report dated June 19, 2006					
Examiner Signature		Patrice L. Winder				Date Considered	October 30, 2006

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STATEMENT BY APPLICANT**
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